



PERFORMANCE MANAGEMENT PROGRAM

(Revised December 12, 2006)

Mesa State College Performance Management Program

I. Overview

A. Introduction

Mesa State College Performance Management Program is the response of Mesa State College to Colorado's Performance Pay System, which was designed to measure job performance and to determine appropriate awards for state employees. The MSCPMP is a model that is deliberately designed to address both the Performance Pay System and the structure, culture and philosophy of the Mesa State College organization.

The state's Performance Pay System is addressed in its entirety in the MSCPMP. Progressive performance management, collaborative performance evaluation and annual performance award are all incorporated into the program.

B. Mesa State College Mission Statement

Mesa State College is committed to serving the higher education needs of the citizens of Colorado. The College seeks to attract and retain high quality undergraduate and graduate students from Colorado and the Mountain West, while regarding Colorado's Western Slope as its primary service area. The service area includes the Grand Valley east to the continental divide, north to Wyoming, and south to Red Mountain.

The threefold mission of Mesa State College is in accord with the statement of the Colorado law, C.R.S. 23-53-101, which created the institution:

There is hereby established a College at Grand Junction, to be known as Mesa State College, which shall be a general baccalaureate and specialized graduate institution with moderately selective admissions. Mesa State College shall offer liberal arts and sciences programs and a limited number of professional, technical and graduate programs. Mesa State College shall receive resident credit for two-year course offerings in its commission-approved service area.

The Mesa State College community aspires to provide an environment that promotes a wellness lifestyle, free of addictive behaviors. It shall be a goal of Mesa State College to maintain a healthy campus atmosphere conducive to learning and personal safety.

C. Guiding Principles

The principles by which the performance management process is guided were developed from a group of institutional cultural characteristics and global components as identified in the design of the Mesa State College Performance Management Program.

1. Orientation and Training

The Mesa State College Performance Management Program requires initial orientation and ongoing training in all phases of performance management

planning for all employees, with continuing emphasis on new employees and current employees who are making lateral moves or are being promoted.

2. Performance Planning

Development of individual performance plans will be a major component of performance planning. The development of the individual performance plans involves a planning session between the supervisor and the employee. The planning session must take place at the beginning of each performance cycle. Plans will include goal setting, continuing or periodic reviews, and an evaluation and appraisal component that is connected to levels of performance.

3. Professional Development

Professional development components may be included in all performance plans. Special consideration should be given to the personal development of leadership skills.

4. Communication

The process of coaching, mentoring and providing feedback is designed to enhance and promote effective internal and external communication.

5. Customer Service

Customer service philosophy and strategies should be incorporated into all phases of the performance management Program, emphasizing a sense of community and team building.

6. Motivation

Supervisors should be trained to lead by positive example, motivate by example and, where appropriate, to teach team building skills to the employees they supervise.

D. Performance Management Values

1. Performance management is a business tool that helps organizations, as well as individuals, achieve their visions, goals and strategic objectives in the work environment.
2. A successfully implemented performance management system is the foundation for other programs, policies, procedures and initiatives.
3. Performance management is an ongoing process, not a one-time event. Such a system is critical for organizational and individual success.

4. Each employee shares responsibility and is accountable for making the system successful.
5. Managers, supervisors and employees must evaluate and clearly define objectives and the means of meeting those objectives.
6. Training is a key component to a successful performance management system.
7. A successful performance management system encourages open, ongoing communication to build trust and develop a work environment that focuses on continuous improvement and increased productivity.
8. is designed for those Mesa State College employees whose employment is governed by the State Personnel System and rules and regulations developed by the Department of Personnel and Administration.

II. PERFORMANCE MANAGEMENT IMPLEMENTATION PLAN

A. Orientation and Training

Training will be provided for all new employees, all supervisors and staff, and those who make lateral moves or are promoted. Training will include an orientation component for all new employees. The following are broad categories of orientation and training:

1. Orientation

a) Institutional

A general orientation will be conducted by the Human Resources Department for all new state classified employees and those administrative employees who supervise state classified staff. Orientation will include the institutional mission, vision and strategic plan, as well as an explanatory overview of the performance management plan.

b) Departmental

Employees will receive instruction, at the departmental level, on how the department mission/goals support the institutional mission/goals.

2. Customer Service Training

a) Institutional

Employees are encouraged to participate in current, general institutional customer service training seminars.

b) Departmental

Departments should instruct employees in departmental customer service requirements, and should reinforce institutional training seminar instruction.

3. Departmental Training

- a) The department will provide training appropriate to each specific position.
- b) Whenever possible, employees who formerly held a specific position may assist in training the employee new to that position.

4. Performance Management Training

- a) Performance Management training is mandatory for all supervisors, and all employees should be encouraged to attend ongoing training sessions.
- b) Human Resources will provide ongoing training in the following areas:
 - 1. Formulating measurable behavior indicators
 - 2. Creating a work journal
 - 3. Self-evaluation and review
 - 4. Weighting of performance measures
 - 5. Designing specific and measurable individualized goals
 - 6. The procedures related to an overall rating of Unsatisfactory Performance
 - 7. Appropriate use of performance management forms

B. Performance Management

Performance Management provides a framework for employees to participate in establishing their own performance goals and objectives, and to be full participants in reviewing their individual progress toward those goals. It provides the supervisor with an opportunity to include the employee in the planning process, as well as setting the parameters for review of progress, annual appraisals and appropriate annual performance award. Performance management is continuous and dynamic. It includes performance planning, feedback and coaching, interim evaluations, annual performance evaluations and appraisal. Effective July 1, 2006, the statewide uniform performance cycle shall be April 1 to March 31. The annual evaluation due date for all classified employees at Mesa State College shall be April 30 of each fiscal year.

1. Performance Planning

Each individual employee's performance plan outlines the tasks, responsibilities, goals and measurements for a particular job. Statewide uniform core competencies will be incorporated into every employee's performance plan and will be considered during every employee's annual evaluation. Critical job duties are specified in the employee's Position Description Questionnaire (PDQ). Planning shall occur within the following schedule and procedures:

- a) Within 30 days of initial hire or 30 days of the annual evaluation due date, the employee's supervisor, with input from the individual employee, shall develop a performance plan for that employee. The performance plan should include "SMART" goals and expectations, i.e. goals should be specific, measurable, attainable within a set time frame, results-oriented and capable of being tracked over time.
- b) If the employee's supervisor does not develop a performance plan for the employee, the next higher level supervisor shall develop a performance plan for that employee. If the next level supervisor fails to plan in a timely manner, the third level supervisor is responsible for completing the plan. Responsibility for plan completion continues on up the chain of command until the plan is completed as required by law.
- c) All supervisors will have a factor in their own performance plan that evaluates the effectiveness of performance management of their employees.

2. Coaching, Feedback and Progress Review

- a) The employee is encouraged to maintain an important events journal that documents significant work achievements and other important incidents.
- b) The supervisor should provide the employee with regular coaching and ongoing feedback. This allows the employee an opportunity to receive clarification of expectations and additional training/coaching as needed.
- c) Interim and/or ongoing progress reviews shall be provided to the employee by the supervisor no less than once during any rating period. These progress reviews shall include a review of the goals and objectives set forth in the employee's Performance Plan and modification of the Performance Plan as needed and appropriate.

3. Performance Evaluation/Appraisal

- a) Employees shall receive a written Performance Evaluation at least annually. The employee's evaluation shall be based on the employee's past year's performance plan.

- b) If an employee moves to a position under another appointing authority or department during a performance cycle, an interim overall evaluation shall be completed and delivered to the new appointing authority or department within 30 days of the effective date of the move.
- c) Performance will be rated based on three levels, with Level 1 indicating unsatisfactory performance.
- d) Quotas or forced distribution processes for determining the number of ratings in any of the three performance levels will not be established.
- e) Where feasible, multi-source assessment processes will be considered for evaluating employees.
- f) At least five (5) days prior to the annual Performance Evaluation the supervisor shall provide the employee with an Employee Self Review Worksheet. The employee is encouraged to complete the worksheet, which is designed to help the employee and the supervisor prepare for the performance evaluation. The completed worksheet must be returned to the employee's supervisor at least two (2) days prior to the evaluation discussion.
- g) Supervisors shall rate each of their employees. If a supervisor fails to rate an employee within 30 days of the due date of the employee's annual evaluation, the next higher level supervisor shall develop an annual evaluation for that employee. In this event the employee's annual performance evaluation shall take place within 45 days of the due date of the employee's annual evaluation.
- h) If neither supervisor develops an annual evaluation for the employee in a timely manner, the third level supervisor is responsible for completing the evaluation. Responsibility for evaluation completion continues on up the chain of command until the evaluation is completed as required by law.
- i) If a rating is not given, the overall evaluation is "Meets Expectations" until a final rating is completed and lack of a plan or rating can be disputed.
- j) Supervisors who fail to complete performance plans and/or evaluations on an annual basis are subject to the penalties provided for in C.R.S. 24-50-104, and may also be subject to additional disciplinary action.
 - 1. State classified supervisors who fail to complete performance plans and/or evaluations in accordance with the timelines established in this plan are subject to corrective action and are ineligible for any performance pay awards. In addition, designated raters failing to complete a plan or evaluation within 30 days of the established deadline **shall be suspended from work without pay for a period of not less than one workday.** A higher level supervisor, prior to the final performance evaluation meeting with the employee, must review the immediate supervisor's evaluation of the employee's performance.

k) The Director of Human Resources will review performance evaluations to ensure consistency across supervisors and raters.

4. Performance Rating Levels

a) Level 1 - Unsatisfactory performance: This rating level encompasses those employees whose performance does not consistently and independently meet expectations set forth in the performance plan as well as those employees whose performance is clearly unsatisfactory and consistently fails to meet requirements and expectations. Evidence demonstrates the employee's contributions are below accepted standards in the areas of responsibility. A need for improvement is clearly indicated.

Marginal performance requires substantial monitoring and close supervision to ensure progression toward a level of performance that meets expectations. Although these employees are not currently meeting expectations, they may be progressing satisfactorily toward a level 2 rating and need coaching/direction in order to satisfy the core expectations of the position.

b) Level 2 – Satisfactory performance: This rating level encompasses a range of expected performance. It includes employees who are successfully developing in the job, employees who exhibit competency in work behaviors, skills, and assignments, and accomplished performers who consistently exhibit the desired competencies effectively and independently. These employees are meeting all the expectations, standards, requirements, and objective on their performance plan and, on occasion, exceed them. This is the employee who reliably performs the job assigned and may even have a documented impact beyond the regular assignments and performance objective that directly support the mission of the college.

c) Level 3 – Outstanding: This rating represents consistently exceptional and documented performance or consistently superior achievement beyond the regular assignment. Employee makes exceptional contribution(s) that have a significant and positive impact on the performance of the unit or the college and may materially advance the mission of the College. The employee provides a model for excellence and helps others to do their jobs better. Peers, immediate supervisor, higher-level management and others can readily recognize such a level of performance.

C. **Annual Salary Award**

In the state-classified system any permanent employee achieving at a rate of Level 2 or Level 3 on the employee's annual evaluation may be eligible for an annual performance award. Annual performance awards will be linked directly to the employee's attainment of defined performance objectives. Prior to the payment of an annual performance award, the Director of the Department of Personnel and Administration shall specify and publish the percentage ranges for performance levels based on the available statewide performance pay funding. The appointing authority determines the dollar amount and communicates the average percentage increase to agency employees, followed up with personal communications regarding individual employee awards. The appointing

authority will make pay decisions at the end of each performance cycle based on the distribution of ratings among performance levels and within system boundaries, institution programs and budget allocations.

Temporary employees are not eligible for annual performance awards.

New employees who are hired on or before the last working day in December of each year will be evaluated for their partial year of employment and be eligible for an annual performance award. Employees who are hired on or after the first working day in January will have an interim evaluation based on the performance plan that was developed for them within 30 days of their hire date. These employees will not be eligible for the annual performance award.

Employees must be employed on July 1 of the new fiscal year to receive an annual performance award based on the previous year's performance evaluation.

1. Compensation System

The MSCPMP compensation system is based on an open pay range with a minimum and maximum amount set for each class and occupational group. The minimum and maximum points in the pay range are established through the Annual Compensation Survey.

The State Personnel Director specifies and publishes annually the percentage ranges for performance levels based on the available statewide performance pay funding.

2. Annual Performance Awards and Non-Base Building One-Time Lump Sum Payments

Annual performance awards are base building, become a permanent part of pay, and are paid as regular salary. Non-base building lump sum payments must be earned each year and do not become a permanent part of pay. However, non-base building lump sum payments do count toward the employee's highest annual salary for PERA. Only performers achieving an "Outstanding" rating are eligible for non-base building lump sum payments above the range maximum. All lump sum payments shall be paid in the July payroll.

An employee granted an annual performance award shall not be denied the adjustment because of a corrective or disciplinary action issued for an incident after the close of the previous performance cycle.

Regardless of performance level, an employee cannot be granted an annual performance award or combination of an annual performance award and a non-base building lump sum payment greater than the set annual performance award for each performance rating.

3. Level 1: “Unsatisfactory Performance” Rating

An employee achieving a final annual overall Level 1 rating is ineligible for an annual performance award.

A Level 1 rating denoting unsatisfactory performance will result in a performance improvement plan. A signed copy of the performance evaluation and the performance improvement plan must be accompanied by supporting documentation and shall be reviewed by the Director of Human Resources. A reasonable time to improve will be established in the performance improvement plan. If performance is still unsatisfactory at the time of reevaluation, a corrective action will be given. If performance does not improve after the corrective action is given, a disciplinary action shall be taken.

4. Level 2: “Satisfactory” Rating

An employee achieving a final annual overall rating of “Satisfactory” may receive an annual performance award, not to exceed range maximum. If base pay is at or above the range maximum, the employee is ineligible for an annual performance award.

5. Level 3: “Outstanding” Rating

An employee achieving a final annual overall rating of “Outstanding” may receive an annual performance award, not to exceed range maximum. Any portion of the adjustment amount that exceeds grade maximum shall be paid as a one-time lump sum in the July payroll.

6. Payout of Annual Performance Awards

Annual performance awards will be applied uniformly for all similarly situated classified employees.

In the event that the College decides to distinguish annual performance awards within a particular rating level, the minimum common criteria will be announced by the President in advance of the annual performance award. Source of funds, method of funding and length of state service shall not be criteria.

By July 15th of each fiscal year the Department of Human Resources will notify each employee of the amount of their annual performance award. The notification will also advise each employee whether the award is a base building annual performance award, a non-base building lump sum payment, or a combination of base and non-base building.

D. Dispute Resolution Process

Mesa State College provides a review process that is designed to resolve performance management issues as quickly and efficiently as possible. The President of Mesa State College delegates final decision-making authority in the internal dispute resolution process to the Director of Human Resources. The dispute resolution process is an open, impartial process that is not a grievance or appeal. The formal dispute resolution process has two stages--internal to Mesa State College, and external, to the Department of Personnel. Informal resolution of disputes at the lowest level is encouraged. The scope of authority of those individuals making final decisions throughout the dispute resolution process is limited to reviewing the facts surrounding the current action, within the limits of the MSCPMP. If an issue is being reviewed at the external stage, these individuals shall not substitute their judgment for that of the rater, reviewer, or the MSCPMP's dispute resolution maker. Further, these individuals shall not render a decision that would alter the MSCPMP. Final resolution of issues concerning the employee's performance plan (or lack of plan) and the employee's evaluation shall occur at the internal level. Employees will have no further recourse for resolution of these disputes.

A written description of this dispute resolution process, along with the name of the appointing authority, will be provided to each employee prior to the due date of the annual Performance Evaluation.

1. Reviewable Complaints. Only the following matters are reviewable:
 - a) The individual performance plan, including lack of a plan during the planning cycle;
 - b) The individual's final performance evaluation, or lack of final evaluation;
 - c) The application of the Mesa State performance management program to the individual employee's plan and/or final evaluation; and
 - d) Full payment of the award.

An employee who has a reviewable dispute or concern relating to MSCPMP may use this procedure without fear of reprisals. The dispute resolution process is available to all permanent employees. It is an open, impartial process that is not a grievance or appeal. No party has an absolute right to legal representation, but may have an advisor present at all stages of the dispute resolution process. The role of the advisor is to assist the employee in the process, but the employee is expected to present the employee's issues at each stage.

The employee shall discuss the reviewable complaint or concern with the employee's immediate supervisor and attempt to resolve the problem informally prior to pursuing the formal MSCPMP dispute resolution process.

2. Non-Reviewable Complaints. The following matters are not reviewable under MSCPMP:

- a) The content of the Mesa State College Performance Management Program;
- b) Matters related to the funds appropriated;
- c) The performance evaluations and annual performance awards of other employees; and
- d) The amount of an annual performance award, including whether it is base or non-base building, any combination or none, unless the issue involves the application of the Mesa State Performance Management Program.

3. Internal Formal Dispute Resolution Stage

a) Initial Review

- (i) In the event the dispute is not suitably resolved at the informal level the employee may reduce the problem to writing by completing the Request for Initial Review section of the Request for Review of Performance Management Issues form. The form must be presented to the administrative head of the employee's work unit, with a copy to the Director of Human Resources, within three (3) working days of the occurrence of the reviewable dispute.
- (ii) The form shall be dated and signed by the employee; it shall set forth the facts, including dates, of the dispute and the remedy desired. Only those issues originally presented in writing shall be considered throughout the dispute resolution process.
- (iii) The dispute shall not be considered submitted until the administrative head of the employee's work unit receives the written request for review. At the time it is received, it shall be dated and a copy returned to the employee.
- (iv) The administrative head of the employee's work unit shall schedule a meeting to include the employee's supervisor and the employee. The meeting must occur within five (5) working days of the submission of the written Request for Initial Review. The purpose of the meeting shall be to review and consider the issues presented.
- (v) Within five (5) working days of the meeting the administrative head of the employee's work unit shall respond, in writing, to the employee's dispute.
- (vi) In the event the response of the administrative head of the employee's work unit is unacceptable to the complaining employee,

the dispute may be referred to the Director of Human Resources under the procedures set forth in the section (b), Final Review, of this internal formal dispute resolution stage.

b) Final Review

(i) If the employee is not satisfied with the response presented at the Initial Review stage, the employee may refer the dispute to the Director of Human Resources by completing the Request for Final Review by Director of Human Resources section of the Request for Review of Performance Management Issues form. The form must be presented to the Director of Human Resources, within three (3) working days of receipt of the response to the employee's Request for Initial Review.

(ii) The complaint shall not be considered submitted until the Director of Human Resources receives the completed form. At the time it is received, it shall be dated and a copy returned to the complaining employee. Any dispute that has not been referred within three (3) calendar days after receipt of the response to the Request for Initial Review shall be considered settled on the basis of the written response and shall not be subject to further review by the Director of Human Resources.

(iii) The Director of Human Resources shall schedule a meeting with the employee and the two supervisors involved in the Initial Review to discuss the issue(s) presented. The meeting shall occur within three (3) working days of receipt of the Request for Final Review.

(iv) Within three (3) working days of the meeting the Director of Human Resources shall complete his investigation and shall answer the employee's dispute in writing. In answering the employee's dispute the Director is limited to addressing the facts surrounding the issue, and shall not substitute his judgment for that of the supervisor. The Director of Human Resources may instruct the supervisor to follow the agency Program, reconsider a performance plan or rating, or take other appropriate action. The Director of Human Resources cannot render a decision that would alter the Mesa State College Performance Management Program. The Director of Human Resources' response must also advise the employee of the issues that are disputable at the External stage of the Dispute Resolution Process. The notice must include filing deadlines, the address for filing, and should advise that a copy of the original Request for Review of Performance Management Issues form, along with the final decision in the internal dispute resolution process.

4. External Review

- a) Within five (5) working days of Mesa State's final decision, an employee may file a written request for review with Appeals Processing, 1313 Sherman Street, Room 122, Denver, Colorado 80203. Only those original issues involving the application of the agency's performance plan to the individual's performance plan and/or evaluation, or full payment of an award may advance to the external review stage.
- b) The request for external review shall include a copy of the original issue(s) submitted in writing and the agency's final written decision.
- c) The Director or designee may select a qualified neutral third party. The neutral third party has thirty (30) days to issue a written decision, which is final and binding.

E. Annual Report to State Department of Personnel

Mesa State College, through its annual budget process, will track the following information:

- 1. The distribution of performance ratings;
- 2. The total dollars appropriated for annual performance awards each fiscal year;
- 3. The total amount of those appropriated dollars awarded to employees for annual performance awards;
- 4. The total amount of dollars in salary awards for each performance category; and
- 5. The number of disputes.

This information will be reported to the state Department of Personnel at the end of each fiscal year.

Mesa State College
Performance Evaluation Process

Performance Planning and Evaluation Schedule

April 30	Annual evaluation due for previous year
May 1	Complete a Plan for upcoming plan year within 30 days of annual evaluation review
30 days after hire	Complete Performance Plan for each new employee
60-90 days after hire	Perform Interim Evaluation for new hire
6 months after promotion or transfer	Interim Evaluation
October 1	Midyear evaluation using the Annual Evaluation form. Do follow-up review for employees who receive an overall rating of Unsatisfactory performance, if needed.

Appendix 1

Forms

Mesa State College

Performance Plan

IDENTIFICATION SECTION	RATING PERIOD:	TO	EMPLOYEE 700#: (mandatory)	
EMPLOYEE'S NAME:				
CLASS/TITLE:		POSITION NO:		
DATE PLAN PRESENTED TO EMPLOYEE:				
EMPLOYEE'S SIGNATURE:				
SUPERVISOR'S NAME:				
SUPERVISOR'S SIGNATURE:				
II. CAPSULE JOB DESCRIPTION (From item II, Page 1 of PDQ for Classified Employees)			Working Title:	
III. PLANNING SECTION: INCLUDE AT LEAST THREE INDIVIDUAL PERFORMANCE OBJECTIVES (IPOS)/TRAINING/CAREER DEVELOPMENT RECOMMENDATIONS, WRITTEN AT A "SATISFACTORY" LEVEL OF PERFORMANCE.				
**For rating supervisors only: Supervisors will be rated on their Performance Management Program participation; including the degree to which the supervisor supports the program, is open to communication and employee feedback mentoring, coaching, training and support of the MSC mission and objectives; whether performance plans, reviews and evaluations of subordinate staff are completed on time. (See Competency F)				

PLANNING SECTION (CONTINUED): INCLUDE AT LEAST THREE INDIVIDUAL PERFORMANCE OBJECTIVES (IPOS)/TRAINING/CAREER DEVELOPMENT RECOMMENDATIONS, WRITTEN AT A “SATISFACTORY” LEVEL OF PERFORMANCE.

	SUPERVISOR: (Print)	PERIOD FROM:	TO:
--	----------------------------	---------------------	------------

Interim Performance Review

		Department:	EMPLOYEE STATUS: PROB <input type="checkbox"/> TS <input type="checkbox"/> CERT <input type="checkbox"/>
COMPETENCY TITLE			
COMPETENCY A: ACCOUNTABILITY/ORGANIZATIONAL COMMITMENT			
NEEDS IMPROVEMENT	SATISFACTORY	OUTSTANDING	
<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	
COMPETENCY B: JOB KNOWLEDGE			
NEEDS IMPROVEMENT	SATISFACTORY	OUTSTANDING	
<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	
COMPETENCY C: COMMUNICATION			
NEEDS IMPROVEMENT	SATISFACTORY	OUTSTANDING	
<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	
COMPETENCY D: INTERPERSONAL SKILLS			
NEEDS IMPROVEMENT	SATISFACTORY	OUTSTANDING	
<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	
COMPETENCY E: CUSTOMER SERVICE			
NEEDS IMPROVEMENT	SATISFACTORY	OUTSTANDING	
<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	
COMPETENCY F: PERFORMANCE MANAGEMENT (ONLY APPLIES TO RATING SUPERVISORS)			
NEEDS IMPROVEMENT	SATISFACTORY	OUTSTANDING	
<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	
OVERALL RATING LEVEL (SELECT ONLY ONE)			
NEEDS IMPROVEMENT	SATISFACTORY	OUTSTANDING	
<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	

ATTACH ANY NECESSARY DOCUMENTATION – Include specific Individual Performance Objectives
 Original to Human Resources
 Copies to Supervisor and Employee

Mesa State College
Performance Evaluation Process
Employee Self-Review Worksheet

As an employee, you are encouraged to complete this worksheet. It is designed to help you and your supervisor prepare for your performance evaluation discussion. Give a completed copy of this worksheet to your supervisor at least two days prior to the evaluation discussion and keep a copy for yourself. *Where possible, utilize important events journal to complete this form.* (Attach separate page(s) as necessary.)

Name: _____
Title: _____

Date: _____
Department: _____

1. Do you have any questions about job performance expectations? What areas are unclear to you, if any?

2. List special contributions you feel you have made to your department for the current evaluation period. (These may include activities, awards, and/or recognitions since your last full evaluation.)

3. List any notable obstacles you encountered in accomplishing your job responsibilities during the last evaluation period; particularly obstacles encountered in attempting to reach the goals you and your supervisor had set. (Include your plan for overcoming any obstacles that you may have met.)

4. What performance standards do you want/need to improve in the next year? How do you intend to achieve these goals?

5. Add any additional information that you wish to have considered in your evaluation.

Signature: _____ Date: _____

Mesa State College

PERFORMANCE EVALUATION - Classified Staff

IDENTIFICATION SECTION		RATING PERIOD: TO		Employee 700#	
REASON FOR EVALUATION:		<input type="checkbox"/> Annual	<input type="checkbox"/> Change of Supervisor	<input type="checkbox"/> Promotion	<input type="checkbox"/> Transfer
		<input type="checkbox"/> Separated	<input type="checkbox"/> Other		
EMPLOYEE'S NAME					
CLASS/TITLE:			Position #		
Level 1 Rating: Unsatisfactory Performance –This rating level encompasses those employees whose performance does not consistently and independently meet expectations set forth in the performance plan as well as those employees whose performance is clearly unsatisfactory and consistently fails to meet requirements and expectations. Marginal performance requires substantial monitoring to achieve consistent completion of work, and requires more constant, close supervision. Though these employees do not meet expectations, they may be progressing satisfactorily toward a level 2 rating and need to demonstrate improvement in order to satisfy the core expectations of the position.					
Level 2 Rating: Satisfactory –This rating level encompasses a range of expected performance. It includes those employees who exhibit competency in the work behaviors, skills, and assignments for the job as well as those employees who are successfully developing in the job. These employees are meeting all the expectations, standards, requirements, and objectives on their performance plan and, on occasion, may exceed them. This is the employee who reliably performs the job assigned. The employee meets minimum expectations and has made modest contributions in the areas of responsibility.					
Level 3 Rating: Outstanding –This rating represents consistently exceptional and documented performance or consistently superior achievement beyond the regular assignment. Employees make exceptional contribution(s) that have a significant and positive impact on the performance of the unit or the organization and may materially advance the mission of the organization. The employee provides a model for excellence and helps others to do their jobs better. Peers, immediate supervision, higher-level management and others can readily recognize such a level of performance. The employee has made exceptional contributions in the areas of responsibility and would clearly be recognized as an outstanding employee as compared to others.					
II. COMPETENCIES (SELECT WITH AN "X" ONE RATING LEVEL FOR EACH COMPETENCY)					
A. COMMUNICATION:-The degree to which the employee effectively communicates by actively listening and sharing relevant information with co-workers, supervisors and customers so as to anticipate problems and ensure the effectiveness of the department and Mesa State College					
NEEDS IMPROVEMENT		SATISFACTORY		OUTSTANDING	
<input type="checkbox"/>		<input type="checkbox"/>		<input type="checkbox"/>	
B. INTERPERSONAL SKILLS:-The degree to which the employee interacts effectively with others to establish and maintain smooth working relations.					
NEEDS IMPROVEMENT		SATISFACTORY		OUTSTANDING	
<input type="checkbox"/>		<input type="checkbox"/>		<input type="checkbox"/>	
C. CUSTOMER SERVICE:-The degree to which the employee works effectively with internal/external customers to satisfy service expectations.					
NEEDS IMPROVEMENT		SATISFACTORY		OUTSTANDING	
<input type="checkbox"/>		<input type="checkbox"/>		<input type="checkbox"/>	
D ACCOUNTABILITY:-The degree to which an employee's work behaviors demonstrate responsible personal and professional conduct, which contributes to the overall goals and objectives of the department and Mesa State College.					
NEEDS IMPROVEMENT		SATISFACTORY		OUTSTANDING	
<input type="checkbox"/>		<input type="checkbox"/>		<input type="checkbox"/>	
E. JOB KNOWLEDGE:-The degree to which the employee is skilled in job-specific knowledge which is necessary to provide the appropriate quantity and quality of work in a timely and efficient manner					
NEEDS IMPROVEMENT		SATISFACTORY		OUTSTANDING	
<input type="checkbox"/>		<input type="checkbox"/>		<input type="checkbox"/>	
F. PERFORMANCE MANAGEMENT/Supervision: (Applies to rating supervisor's only - those employees who supervise one or more employees, whether college employee or student) The degree to which employee/supervisor provides supervision, feedback and training for employees; resolves routine personnel issues or problems; utilizes employee's skills and abilities; and provides timely performance plans and evaluations in accordance with established timelines					
NEEDS IMPROVEMENT		SATISFACTORY		OUTSTANDING	
<input type="checkbox"/>		<input type="checkbox"/>		<input type="checkbox"/>	

OVERALL RATING LEVEL (SELECT ONLY ONE)	OVERALL RATING LEVEL (SELECT ONLY ONE)	OVERALL RATING LEVEL (SELECT ONLY ONE)
NEEDS IMPROVEMENT	SATISFACTORY	OUTSTANDING
<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>

III. OVERALL NARRATIVE JUSTIFICATION: Narrative justification is required for all ratings. Employee strengths and/or areas for development may be addressed in this section. IPO's ***MUST*** be addressed in this section. Overall NEEDS IMPROVEMENT may result in corrective/disciplinary action. Complete Performance Improvement Plan and/or Corrective Action Form. Please continue on a separate page.

Please Print or Type Supervisor's Name:

Please Print or Type Reviewer's Name:

IV. SIGNATURE'S

SUPERVISOR:		DATE:	Required within 30 days of end of rating period	
REVIEWER:		DATE:	Must review and date prior to employee's signature	
APPOINTING AUTHORITY:		DATE:	For Outstanding Ratings: Appointing Authority must sign before employee	
EMPLOYEE:		DATE:	AGREE <input type="checkbox"/>	DISAGREE <input type="checkbox"/>

Employee Performance Log

Employee Name _____
Evaluation Period _____

[illegible]

MESA STATE COLLEGE
Performance Improvement Plan

(Required for employees who receive an overall rating of Unsatisfactory Performance on yearly evaluation, otherwise optional.)

Employee: _____ 700 #: _____
Supervisor: _____ Department: _____

List the Competency (ies) that need improvement and the corresponding plan for improvement:

COMPETENCIES	JOB RESPONSIBILITY	PLAN FOR IMPROVEMENT

Support to be provided by Supervisor (i.e. training, equipment, etc.):

Employee Comments:

I _____ Agree ☐ Disagree ☐ with the plan above.
(Employee Signature)

Supervisor Signature: _____ Date: _____

Reviewer Signature: _____ Date: _____

Follow-up Review: (to be completed within 60-90 days of annual review date)

____ Employee has achieved required improvements described above.

____ Employee has not achieved the required improvements described above.

Follow-up Review Signatures:

Employee: _____

Date: _____

Supervisor: _____

Date: _____

Copies to Employee, Supervisor, and Human Resources.

MESA STATE COLLEGE
Request for Formal Review of Performance Management Issues – Classified Staff

Has issue been discussed with immediate supervisor? Yes ☐ No ☐
Has an attempt been made to resolve the problem? Yes ☐ No ☐

Request for Initial Review* (To be delivered to the Administrative Head of the Employee's Work Unit)

Employee's name: _____ 700 Number: _____
Department: _____ Date: _____
Work Address: _____ Work Phone: _____

Reason for Request:

- ☐ My performance plan or lack of a plan. *Attach a brief statement of the facts.*
- ☐ My individual performance rating. *Attach a copy of the performance plan, the rating, and a brief statement of the issues and supporting facts.*
- ☐ The application/interpretation of the Mesa State College Performance Management Plan, policies or processes to my individual plan and/or evaluation. *Attach a copy of the performance plan and/or rating and a brief statement of the plan, policy or process that was misapplied and supporting facts.*
- ☒ Full payment of performance award. *Attach a copy of the notice of award, record of payments, and a brief statement of explanation and supporting facts.*

Request for Review by Director of Human Resources*

To resolve this issue, I have taken the following actions:

Reason immediate supervisor's answer was unsatisfactory:

Reason administrative head's answer was unsatisfactory:

I am requesting the following resolution:

Employee Signature _____
Date _____

<p>*A copy of this form must be provided to the Director of Human Resources for all internal dispute resolution reviews.</p>

External Review

I understand that the action I am disputing must have been raised in the agency's review process. Requests for external review must be filed with the State Personnel Director within five (5) working days from the date of the agency's final decision.

Date of agency's decision on my request for review: _____

Reason for Request:

- ☐ Application of the agency's performance management plan, policies or processes to my individual employee plan or evaluation.
- ☐ Full payment of a performance award.

Attach a copy of the original review document's, the agency's decision, and a brief statement of explanation and supporting facts. A copy of the request for external review must also be provided to the supervisor and the human resources office.

Employee Signature _____

Date _____

Requests for external review must be filed with Appeals Processing, 1313 Sherman Street, Room 122, Denver, Colorado 80203
--

CORRECTIVE ACTION – CLASSIFIED EMPLOYEE			
EMPLOYEE:	SUPERVISOR:	DEPARTMENT:	DATE:
Employee #:			
DIRECTIONS: This form may be used as a corrective action. Such actions are intended to correct and improve an employee's job performance or behavior in a formal, systematic manner. In the case of performance evaluation, this form may be used when an employee's performance is substandard in a competency or overall rating of NEEDS IMPROVEMENT.			
1. THE FOLLOWING AREA(S) NEED(S) CORRECTION:			
2. THE CORRECTIVE ACTION(S) YOU MUST TAKE FOR THE ABOVE AREA(S) IS/ARE AS FOLLOWS:			
3. YOU MUST COMPLETE THE CORRECTIVE ACTION(S) LISTED ABOVE BY THE FOLLOWING DATE(S):			
4. FAILURE TO CORRECT YOUR PERFORMANCE ON OR BEFORE THE DATE SPECIFIED IN NUMBER 3 ABOVE MAY RESULT IN FURTHER CORRECTIVE ACTION AND/OR DISCIPLINARY ACTION.			
5. YOU MAY SUBMIT A WRITTEN EXPLANATION WITHIN 10 DAYS TO THE APPOINTING AUTHORITY. THIS EXPLANATION MUST BE ATTACHED TO, AND KEPT WITH THIS CORRECTIVE ACTION.			
6. Grievance Rights: If you wish to protest this action, you may initiate the grievance process. To do so, you must meet with the undersigned within 10 calendar days from this notice. If you are dissatisfied with the results of that meeting and wish to continue the grievance process, you must put your grievance in writing and send to the Appointing Authority. This individual is _____. The written grievance must be filed within five working days after your meeting with me. Other provisions of the grievance process, which must be closely followed, are available from the Human Resources Department at 970-248-1266.			
SUPERVISOR SIGNATURE: <div style="border-top: 1px solid black; width: 100%;"></div>		EMPLOYEE: I have received a copy of this corrective action on this date. <div style="border-top: 1px solid black; width: 100%;"></div>	
Signature	Date	Signature	Date

Appendix 2

Glossary

GLOSSARY OF TERMS

Advisor – an individual, who may assist a party during the Performance Management dispute resolution process by explaining the process, helping identify issues, preparing documents and attending meetings

Annual Compensation Survey – An annual process which is required by statute in order to establish prevailing total compensation for employees in the state personnel system. Third-party publications are collected and matched with state classes in order to compare the total compensation rates

Annual Performance Award – An increase in base salary which results from the annual evaluation of employees, is paid as a percentage and increases an employee's base pay

Base pay – Salary, excluding any premiums, paid an employee on a fixed, non-variable basis

Coaching and feedback – In performance management, managers and/or supervisors train employees in linking agency goals/objectives with employees' work plan, and guide employees in achieving individual goals

Competencies – Competencies are observable, measurable patterns of knowledge, skills and abilities, behaviors, and other characteristics that employees need to successfully perform work-related tasks

Core Competencies – These are knowledge, skills and abilities, behaviors and characteristics required for successful performance of all jobs in Colorado state government, regardless of level, occupation or work unit

Consistently –Regular, steady (70-100% of the time)

Department – A single purpose organization within a division of Mesa State College, managed by a supervisor who reports to a division administrator

Division – A major line organization of Mesa State College, consisting of more than one department

Expectations – Defines the: *who, what, when, where, and how* of the desired level of performance

Frequently –Often, habitual, regular (50-70% of the time)

Important Events Journal – Employee Performance Log. A record of significant work events kept by a supervisor to document occurrences that will be useful in assuring the accuracy and comprehensiveness of an employee performance evaluation. Employees may also find value in keeping an Important Events Journal to document significant achievements and other important incidents

Individual Performance Objectives – (IPOs) Individual performance expectations which may include training plans; steps to improve performance skills, and/or areas previously determined to need improvement; and/or employee development goals

Job – Work that a single employee is responsible for performing

Job Analysis – The process of recording information about the job tasks, responsibilities, and standards; precedes the formulation of a job description

Level 1 performance rating – The lowest overall performance rating denoting unsatisfactory performance or performance that needs improvement

Level 2 performance rating – A performance rating defined as “satisfactory”

Level 3 performance rating – The top overall performance rating defined by the term “outstanding”

Mesa State College Performance Management Program (MSCPMP) – The performance management, evaluation and award system for classified staff at Mesa State College

Mission Statement – A brief statement that describes what business the organization is in, the primary purpose of an organization, and why an organization exists

Unsatisfactory Performance – An employee who fails to meet job expectations and may require more supervision and direction. Performance is below expectations, may be weak in skills, may require a great deal of direction, and/or has trouble understanding and carrying out critical job tasks

Non-base Building Performance Award – A monetary lump sum payment which must be re-earned on an annual basis

Pay Range – The spread of salaries between minimum and maximum rates for a specific class. The range is established based through the Annual Compensation Survey. Typically an employee’s base pay cannot exceed the range maximum

Performance Evaluation – The process of observing and evaluating an employee’s performance, recording the assessment, and providing feedback to the employee

Performance Management – A system and ongoing process created and implemented to ensure that the level of performance expected by the organization is identified, selected, developed, and rewarded

Position – A particular job within an organization assigned to a single individual

Probationary Employee – An employee in a permanent position who has not completed his or her probationary period, which should not exceed one year from date of hire (Is not eligible for “time to improve”)

Standards – Relevant criteria established by authority, custom or general consensus as a model or example defining what will be measured to determine a successful level of performance. These usually consist of one or more of the following criteria: quality, quantity, time, and/or cost

Team – A unit of two or more people who interact and coordinate their work to accomplish a specific goal

Temporary Employee – Employee appointed without being required to take the classified examination to a non-permanent position for six months or less in a 12-month period that has temporary status and is only eligible for Worker's Compensation

Trial Service Employee – An employee who is promoted, laterally transferred (to include classification transfers) or promoted through position reallocation to a permanent position at his/her own initiative and must complete a trial period of service not to exceed six months

As required by the Department of Personnel, the revised Mesa State College Performance Management Program is hereby submitted under the authority of the President of Mesa State College, this ____ day of _____, 2006

Tim Foster, President